



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Zhihong YE et al.  
Title: A COMPACT, HIGHLY EFFICIENT  
POWER CONDITIONING SYSTEM  
FOR MICROTURBINE  
APPLICATIONS

Appl. No.: 10/065,596

Filing Date: 11/01/2002

Examiner: Unassigned

Art Unit: 2837

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO/SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

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**TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 CFR §1.97(b), before the mailing date of the first Office Action on the merits.

**RELEVANCE OF EACH DOCUMENT**

All of the documents are in English.

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date April 21, 2003

By Michael D. Kaminski

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PATENT TRADEMARK OFFICE

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Substitute for form 1449B/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> Date Submitted: April 21, 2003 (Use as many sheets as necessary)		<b>Complete if Known</b>	
Sheet <u>1</u> of <u>1</u>		<b>Application Number</b> 10/065,596	<b>Filing Date</b> 11/01/2002
<b>First Named Inventor</b> Zhihong YE		<b>Group Art Unit</b> 2837	
<b>Examiner Name</b> Unassigned		<b>Attorney Docket Number</b> 040849-0209	

APR 21 2003

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	A1	3,775,663		Turnbull	11-27-1973	
	A2	4,354,223		Turnbull	10-12-1982	
	A3	4,507,724		Glennon	03-26-1985	
	A4	4,719,557		Forstbauer et al.	01-12-1988	
	A5	4,847,745		Shekhawat et al.	06-11-1989	
	A6	4,912,618		Krinickas, Jr.	03-27-1990	
	A7	4,922,400		Cook	05-01-1990	
	A8	5,148,362		Braun et al.	09-15-1992	
	A9	5,903,116		Geis et al.	05-11-1999	
	A10	6,020,713		Geis et al.	02-01-2000	
	A11	6,031,294		Geis et al.	02-29-2000	
	A12	6,049,195		Geis et al.	04-11-2000	
	A13	6,093,975		Peticolas	07-25-2000	
	A14	6,154,378		Peterson et al.	11-28-2000	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	A15	WO	99/57800		Aktiebolaget LM Ericsson	11-11-1999		
	A16	EP	0 998 005	A1	Capstone Turbine Corporation	05-03-2000		
	A17	EP	0 963 035	A3	Capstone Turbine Corporation	08-16-2000		

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>

Examiner Signature	Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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